

Receipt

#9

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : John S. Judge et al.

Art Unit : 2652

Serial No. : 09/888,093

Examiner : Unknown

Filed : June 22, 2001

Title : OPTICAL RECORDING ARTICLE

Commissioner for Patents  
Washington, D.C. 20231REQUEST FOR CORRECTED FILING RECEIPT

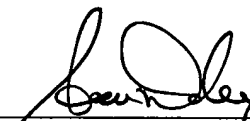
Please correct the Filing Receipt for the above-referenced application to reflect the date filed as June 22, 2001. Please supply a corrected Filing Receipt to the undersigned with respect to this application. A copy of the original Filing Receipt showing the desired changes in red ink is attached for your convenience.

No fee is believed to be due. If, however, there are any charges or credits, please apply them to Deposit Account No. 06-1050.

Respectfully submitted,

Date:

September 26, 2001

  
Sean P. Daley  
Reg. No. 40,978Fish & Richardson P.C.  
225 Franklin Street  
Boston, Massachusetts 02110-2804  
Telephone: (617) 542-5070  
Facsimile: (617) 542-8906

20321417.doc

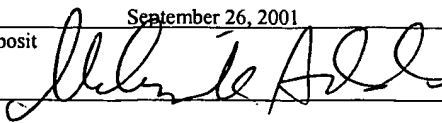
RECEIVED

OCT 23 2001

OFFICE OF PETITIONS

## CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit September 26, 2001  
  
SignatureMelissa K. Addis  
Typed or Printed Name of Person Signing Certificate



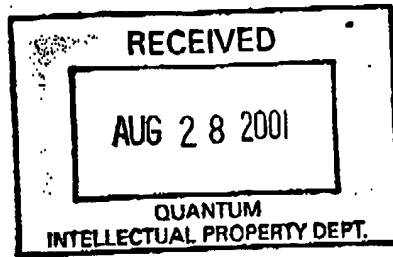
## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

Q01-1019-US1

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/888,093	06/21/2001 22	2652	0.00	06837- 112001	4	100	13

DAVID B. HARRISON  
Quantum Corporation  
501 Sycamore Drive  
Milpitas, CA 95035



CONFIRMATION NO. 6483

## FILING RECEIPT



\*OC00000006442561\*

Date Mailed: 08/17/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

John S. Judge, Durham, NH;  
Jiquan Shao, Newton, MA;  
Warren W. Goller, Acton, MA;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 08/17/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

## Title

Optical recording article

Preliminary Class

369

RECEIVED

OCT 23 2001

OFFICE OF PETITIONS

SEP-25-2001 08:19

QUANTUM CONTRACTS

408 232 6581 P.03/04

Data entry by : DUONG, MICHAEL

Team : OIPE

Date: 08/17/2001

[REDACTED]

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

COPY OF PAPERS  
ORIGINALLY FILED

FEB 25 2002

Attorney's Docket No.: 06837-112001 / Q01-1019-US1

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : John S. Judge et al.

Art Unit : 2652

Serial No. : 09/888,093

Examiner : Unknown

Filed : June 22, 2001

Title : OPTICAL RECORDING ARTICLE

Commissioner for Patents  
Washington, D.C. 20231PETITION TO GRANT FILING DATE UNDER 37 C.F.R. §1.10(C)

The above-referenced patent application was granted a filing date of June 21, 2001. Applicants petition under 37 C.F.R. §1.10(c) to have the filing date of the application corrected to be June 22, 2001. The application was filed via Express Mail bearing Express Mail label EL298423956US. Submitted herewith is a copy of the Express Mail label, listing June 22, 2001, as the "Date In." In view of the foregoing, Applicants respectfully request that the application be granted a filing date of June 22, 2001.

Please apply any charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

RECEIVED

MAR 04 2002

Technology Center 2600

Date: Feb 21, 2002Séan P. Daley  
Reg. No. 40,978Fish & Richardson P.C.  
225 Franklin Street  
Boston, Massachusetts 02110-2804  
Telephone: (617) 542-5070  
Facsimile: (617) 542-8906

20384269.doc

## CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit

Signature

Typed or Printed Name of Person Signing Certificate



COPY OF PAPERS  
ORIGINALLY FILED

FEB 25 2002

JD  
SXP



UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

JAN 22 2002

PETER J. DEVLIN, ESQ.  
FISH & RICHARDSON, P.C.  
225 FRANKLIN STREET  
BOSTON, MA 02110-2804

Paper No. 4  
FISH & RICHARDSON, P.C. COPY MAILED  
BOSTON OFFICE

JAN 15 2002

In re Application of:  
Judge, et al.  
Application No. 09/888,093  
Filed: June 21, 2001  
Attorney Docket No. 06837-112001

OFFICE OF PETITIONS  
DECISION DISMISSING  
PETITION

Technology Center 2600

MAR 04 2002

RECEIVED

This is a decision on the petition filed October 1, 2001, requesting that the above-identified application be accorded a filing date of June 22, 2001, rather than the presently accorded filing date of June 21, 2001.

A review of the original application papers shows that the papers were stamped in the Patent and Trademark Office (PTO) with a June 21, 2001 Office generated barcode. Therefore, the filing date of the application is the date shown on the Office generated barcode or "Office Date" stamp. See MPEP 505.

Petitioners have two options to obtain a June 22, 2001 filing date. First, petitioners could file their copy of the return postcard. If the return postcard shows a date stamp of June 22, 2001, the application will be accorded a June 22, 2001 filing date. A date stamped return postcard constitutes *prima facie* evidence that the application was filed on the date that is stamped on the postcard. MPEP 503. Second, petitioners could file a petition under 37 CFR 1.10(c) because petitioners filed the application via Express Mail. If the "date-in" shown on the Express Mail label EL298423956US is June 22, 2001, petitioners will establish that the filing date accorded to this application should be June 22, 2001.

Because the present petition does not include persuasive documentary evidence to show the application was filed on June 22, 2001, the petition must be **dismissed**.

No petition fee is required and none has been charged.

The application is being returned to the Office of Initial Patent Examination for further processing.

Telephone inquiries pertaining to this matter may be directed to Petitions Attorney E. Shirene Willis at (703) 308-6712.

*Beverly M. Flanagan*

Beverly M. Flanagan  
Supervisory Petitions Examiner  
Office of Petitions  
Office of the Deputy Commissioner  
for Patent Examination Policy

Docketed	
Action	Re file Petition
Base Date	1-15-02
Due Date	2-15-02
Deadline	
Initial	Am